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10 UNITED STATES DISTRICT COURT
11 EASTERN DISTRICT OF CALIFORNIA

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13 JAMES PHAM,

14 Plaintiff,

15 NO. CIV. S-05-0246 FCD/GGH

16 v.

17 MEMORANDUM AND ORDER

18 UNITED STATES OF AMERICA,
19 acting through the
20 SOCIAL SECURITY ADMINISTRATION
and JO ANNE B. BARNHART,
individually and as
Commissioner of the
Social Security
Administration,

21 Defendants.

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25 This matter comes before the court on defendants' motion to
26 dismiss plaintiff Joseph Pham's first amended complaint pursuant

1 to Federal Rules of Civil Procedure 12(b)(1) and 12(b)(6).¹ In
2 the alternative, defendants move for partial summary judgment
3 pursuant to Rule 56.² In addition, defendant Jo Anne B. Barnhart,
4 in her individual capacity, separately moves to dismiss
5 plaintiff's first amended complaint pursuant to Rules 12(b)(5)
6 and 12(b)(6). For the reasons set forth below, defendants'
7 motions to dismiss are GRANTED.³

BACKGROUND

9 Plaintiff worked at the Social Security Administration (the
10 "SSA") for more than 13 years. (Pl.'s First Am. Compl., filed
11 March 31, 2005 ["FAC"], at ¶ 9).⁴ During plaintiff's employment,
12 the SSA operated an Employee Suggestion Program (the "ESP").
13 (*Id.* at ¶ 12). Under the ESP, employees who volunteer a
14 suggestion that "directly contributes to the efficiency, economy
15 or other improvements to Government operations" may be eligible
16 for an award upon certain conditions if the suggestion is
17 ultimately implemented. (SSA Personnel Manual for Managers,
18 Chapter S451-3: Employee Suggestion Program ["ESP Manual"], at 4,
19 Ex. AAA to FAC). The Central Suggestion Section of the SSA,
20 which is located in Baltimore, Maryland, is responsible for

¹ All further references to a "Rule" are to the Federal Rules of Civil Procedure.

² Because the court grants defendants' motion to dismiss in its entirety, and does not grant plaintiff leave to amend, the court does not consider defendants' alternative motion for summary judgment.

³ Because oral argument will not be of material assistance, the court orders this matter submitted on the briefs. E.D. Cal. Local Rule 78-230(h).

⁴ Plaintiff's first amended complaint incorporates by reference all exhibits attached to plaintiff's original complaint filed on February 7, 2005. (FAC at Footnote 1).

1 processing the suggestions submitted through the ESP. (Id. at
2 10).

3 During his employment with the SSA, plaintiff alleges that
4 he submitted no fewer than 15 suggestions through the ESP. (FAC
5 at ¶ 14). Plaintiff contends that he was entitled to an award
6 for many of his suggestions which were allegedly adopted by the
7 SSA. (Id. at ¶¶ 15-17). Plaintiff further contends that the SSA
8 "failed and refused" to grant him any part of any award to which
9 he was entitled. (Id. at ¶ 24).

10 However, contrary to plaintiff's allegations, many of
11 plaintiff's suggestions were not eligible for an award under the
12 ESP, as revealed in the exhibits to plaintiff's first amended
13 complaint.⁵ The ESP Manual provides that duplicates of earlier
14 suggestions, suggestions subject to prior management
15 consideration, and other "nonsuggestions," such as ideas relating
16 to normal safety practices, working environments, and minor
17 modifications to computer screens, are not eligible for awards
18 under the ESP. (ESP Manual at 8-9, Ex. AAA to FAC). For
19 example, plaintiff's suggestion regarding "Centralized Updated
20 SSI RMA" was determined ineligible for an award because it was
21 duplicative and subject to prior management consideration.
22 (Evaluation Report, dated March 21, 2003, Ex. 000 to FAC).
23 Similarly, plaintiff's suggestion regarding "Important Websites"
24 was determined ineligible because the web sites were already
25 available to SSA employees. (Evaluation Report, dated March 8,
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27 ⁵ "When the allegations of the complaint are refuted by
28 an attached document, the Court need not accept the allegations
as being true." Durning v. First Boston Corp., 815 F.2d 1265,
1266 (9th Cir. 1987) (quoting Durning v. First Boston Corp., 627
F. Supp. 393, 395 (W.D. Wash. 1986)).

1 2001, Ex. SSS to FAC). Plaintiff was nonetheless acknowledged
2 for his efforts to identify the web sites in an email to all
3 field offices. (Email from Paul Lindsay, dated February 6, 2001,
4 Ex. TTT to FAC). In addition, plaintiff's suggestion regarding
5 "Phone Appointments for Contagious Diseases" did not meet the
6 criteria of a suggestion because it dealt with normal safety
7 procedures. (Memorandum from Central Suggestion Team, dated
8 October 17, 2001, Ex. XXX to FAC). Many of plaintiff's other
9 suggestions were "nonsuggestions" because they dealt with
10 computer screens, working environments, and normal safety
11 procedures. (ESP Manual at 8-9, Ex. AAA to FAC). Such
12 suggestions by plaintiff included: the addition of a physician
13 directory as a desktop icon, the removal of televisions from
14 public areas and replacement with music, providing soft music to
15 employees, allowing guards to carry pepper spray, and installing
16 metal detectors in some field offices. (FAC at ¶ 19).

17 In addition to the foregoing, prior to 2002, job-related
18 suggestions were ineligible for an award under the ESP.
19 (Addendum to Personnel Policy Manual, Chapter S451-3, Ex. AAA to
20 FAC). All of plaintiff's suggestions were submitted between 1999
21 and 2001. (FAC at ¶ 19). Therefore, any of plaintiff's
22 suggestions that related directly to his job as a claims
23 representative at the SSA were ineligible for an award under the
24 SSA.

25 Despite the fact that many of plaintiff's suggestions were
26 ineligible for an award under the ESP, he alleges that he was
27 "singled-out, disparately treated, and discriminated against by
28 defendants because of his name and Vietnamese heritage" because

1 he was not granted an award. (Id. at ¶¶ 24, 34). On August 17,
2 2001, plaintiff filed a compliant with the Equal Employment
3 Opportunity Commission (the "EEOC") seeking redress for
4 defendants' alleged discrimination. (Id. at ¶ 35). The EEOC
5 denied plaintiff's discrimination claim on November 10, 2004.
6 (Id. at ¶ 37).

7 Plaintiff's first amended complaint includes claims for: (1)
8 breach of contract, (2) breach of the implied covenant of good
9 faith and fair dealing, (3) quasi-contract, (4) promissory
10 estoppel, (5) negligence, (6) racial discrimination in violation
11 of 42 U.S.C. § 1981, and (7) employment discrimination in
12 violation of Title VII, 42 U.S.C. § 2000e-16.

13 **STANDARD**

14 **I. Rule 12(b)(1)**

15 The Eleventh Amendment limits the subject matter
16 jurisdiction of the federal courts. See Seminole Tribe of
17 Florida v. Florida, 517 U.S. 44, 53-54 (1996). Lack of subject
18 matter jurisdiction may be asserted by either party or the court,
19 *sua sponte*, at any time during the course of an action. Fed. R.
20 Civ. P. 12(b)(1). Once challenged, the burden of establishing a
21 federal court's jurisdiction rests on the party asserting the
22 jurisdiction. See Farmers Ins. Exch. v. Portage La Prairie Mut.
23 Ins. Co., 907 F.2d 911, 912 (9th Cir. 1990). There are two forms
24 of Rule 12(b)(1) attacks on subject matter jurisdiction: facial
25 and factual attacks. See Thornhill Publ'g Co. v. General Tel. &
26 Elecs. Corp., 594 F.2d 730, 733 (9th Cir. 1979). In an action
27 such as this, where defendants contend that the lack of federal
28 jurisdiction appears from the "face of the complaint," the

1 allegations in the complaint are taken as true for the purposes
2 of the motion. Id.

3 **II. Rule 12(b) (6)**

4 On a motion to dismiss, the allegations of the complaint
5 must be accepted as true. Cruz v. Beto, 405 U.S. 319, 322
6 (1972). The court is bound to give plaintiff the benefit of
7 every reasonable inference to be drawn from the "well-pleaded"
8 allegations of the complaint. Retail Clerks Int'l Ass'n v.
9 Schermerhorn, 373 U.S. 746, 753 n.6 (1963). Thus, the plaintiff
10 need not necessarily plead a particular fact if that fact is a
11 reasonable inference from facts properly alleged. See id.

12 A complaint need not plead all elements of a prima facie
13 case in order to survive a motion to dismiss. Swierkewicz v.
14 Sorema N.A., 534 U.S. 506, 510-512 (2002) (rejecting a heightened
15 pleading standard for employment discrimination and civil rights
16 cases). Fair notice of the grounds for relief along with a short
17 and plain statement of the claim are all that is required. Id.
18 at 508 (citing Fed. R. Civ. Proc. 8(a)(2)).

19 Given that the complaint is construed favorably to the
20 pleader, the court may not dismiss the complaint for failure to
21 state a claim unless it appears beyond a doubt that the plaintiff
22 can prove no set of facts in support of the claim which would
23 entitle him or her to relief. Conley v. Gibson, 355 U.S. 41, 45
24 (1957); NL Indus., Inc. v. Kaplan, 792 F.2d 896, 898 (9th Cir.
25 1986). Nevertheless, it is inappropriate to assume that
26 plaintiff "can prove facts which it has not alleged or that the
27 defendants have violated the . . . laws in ways that have not
28 been alleged." Associated Gen. Contractors of Cal., Inc. v.

1 California State Council of Carpenters, 459 U.S. 519, 526 (1983).
2 Moreover, the court "need not assume the truth of legal
3 conclusions cast in the form of factual allegations." United
4 States ex rel. Chunie v. Ringrose, 788 F.2d 638, 643 n.2 (9th
5 Cir. 1986).

6 In ruling upon a motion to dismiss, the court may consider
7 only the complaint, any exhibits thereto, and matters which may
8 be judicially noticed pursuant to Federal Rule of Evidence 201.
9 See Mir v. Little Co. Of Mary Hospital, 844 F.2d 646, 649 (9th
10 Cir. 1988); Isuzu Motors Ltd. v. Consumers Union of United
11 States, Inc., 12 F. Supp. 2d 1035, 1042 (C.D. Cal. 1998).

12 **ANALYSIS**

13 In response to defendants' motion to dismiss, plaintiff does
14 not oppose the motion with respect to the following claims: (1)
15 quasi-contract; (2) promissory estoppel; and (3) racial
16 discrimination pursuant to 42 U.S.C. § 1981.⁶ Plaintiff's
17 remaining claims are: (1) breach of contract; (2) breach of
18 implied covenant of good faith and fair dealing; (3) negligence;
19 and (4) employment discrimination pursuant to 42 U.S.C. § 2000e-
20 16.

21 **I. Breach of Contract**

22 Defendants contend that the court must dismiss plaintiff's
23 breach of contract claim pursuant to Rule 12(b) (1) because the
24 court lacks subject matter jurisdiction. The court's
25 jurisdiction to adjudicate contract claims against the United
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⁶ Plaintiff admits that this claim was erroneously
28 brought as a § 1981 claim but asserts it may be brought as a
"Bivens" claim. Plaintiff requests leave to amend. (Pl.'s Opp'n
to Defs.' Mot. to Dismiss at 8).

1 States is limited to claims that do not exceed \$10,000.⁷ 28
2 U.S.C. § 1346(a)(2) (West 2006).

3 Plaintiff alleges that defendants breached his employment
4 contract by failing and refusing to pay him for the 15
5 suggestions he made through the SSA's ESP, which resulted in
6 over, allegedly, \$445 million in savings to the SSA. (FAC at ¶¶
7 14, 18, 44-48). Plaintiff seeks an aggregate of \$318,240 for
8 "nonpayment of awards owed" to him under the SSA's ESP. (Id. at
9 11). Clearly, plaintiff's cumulative demand for defendants'
10 breach of contract far exceeds the court's limited jurisdiction.
11 Therefore, the court lacks jurisdiction to adjudicate plaintiff's
12 breach of contract claim. Accordingly, defendants' motion to
13 dismiss plaintiff's breach of contract claim is GRANTED.⁸

14 **II. Breach of Implied Covenant of Good Faith and Fair Dealing
and Negligence**

15 The United States, its agencies, and its employees, may not
16 be sued in the absence of a waiver of sovereign immunity.
17 F.D.I.C. v. Meyer, 510 U.S. 471, 475 (1994). Congress waived
18 sovereign immunity for certain tort actions when it enacted the
19 Federal Tort Claims Act ("FTCA"), 28 U.S.C. § 2671, et seq.
20 However, a tort claimant may not commence proceedings against the
21 United States in a federal district court without first seeking
22 an administrative resolution by filing a claim with the

24 ⁷ This limit is not violated when a plaintiff "combine[s]
25 a number of claims that are individually less than \$10,000 but
cumulatively exceed that amount." Baker v. United States, 722
26 F.2d 517, 518 (9th Cir. 1983).

27 ⁸ It is the Court of Federal Claims that has
28 "jurisdiction to render judgment upon any claim against the
United States found upon ... express or implied contract with the
United States," without any monetary jurisdictional limit. 28
U.S.C. 1491(a)(1) (West 2006).

1 appropriate federal agency. 28 U.S.C. § 2675(a). The purpose of
2 the FTCA is "to encourage administrative settlement of claims
3 against the United States and thereby to prevent an unnecessary
4 burdening of the courts." Brady v. United States, 211 F.3d 499,
5 503 (9th Cir. 2000) (citing Jerves v. United States, 966 F.2d
6 517, 520 (9th Cir. 1992)). The exhaustion of administrative
7 remedies requirement of § 2675(a) is "jurisdictional in nature
8 and must be strictly adhered to." Jerves, 966 F.2d at 521
9 (citations and quotations omitted).

10 Defendants argue that plaintiff's claims of negligence and
11 breach of implied covenant of good faith and fair dealing must be
12 dismissed because plaintiff failed to exhaust his administrative
13 remedies as required by the FTCA prior to filing this action.
14 Plaintiff's first amended complaint fails to allege that he filed
15 a claim with the SSA seeking redress for his tort claims as
16 required under the FTCA. Plaintiff, however, argues in his
17 opposition that he exhausted his administrative remedies when he
18 filed a claim with the EEOC seeking redress for his alleged
19 employment discrimination. (Pl.'s Opp'n to Defs.' Mot. to
20 Dismiss at 8). Plaintiff contends that because these tort claims
21 were "part-and-parcel" of his claim for discrimination, such
22 claims were properly raised before the EEOC and he should be
23 allowed to proceed. (Id.)

24 Plaintiff's EEOC claim sought redress for employment
25 discrimination, for which the exclusive remedy is provided under
26 Title VII. See Brown v. Gen. Service Admin., 425 U.S. 820, 835
27 (1976). As such, plaintiff's EEOC claim seeking redress for
28 employment discrimination could not put defendants on notice that

1 plaintiff planned to seek redress for tort actions, which lie
2 outside the purview of Title VII and exclusively within the FTCA.
3 Consequently, plaintiff failed to exhaust his administrative
4 remedies as to his tort claims. Accordingly, defendants' motion
5 to dismiss as to these claims is GRANTED.

6 **III. Employment Discrimination**

7 Plaintiff alleges that he suffered racial discrimination in
8 violation of Title VII, 42 U.S.C. § 2000e-16, both directly and
9 in the form of a hostile work environment. (FAC at ¶ 91). Title
10 VII provides that "[a]ll personnel actions affecting employees
11 ... shall be made free from any discrimination based on race ..." 42 U.S.C. § 2000e-16 (emphasis added). To succeed on a claim for
12 race discrimination under Title VII, plaintiff must demonstrate
13 that (1) he belongs to a suspect class, (2) he suffered an
14 adverse personnel action, and (3) there is a causal link between
15 the adverse action and his class membership. See McDonnell
16 Douglas Corp. v. Green, 411 U.S. 792, 802 (1973); Trent v. Valley
17 Electric Assn., 41 F.3d 524, 526 (9th Cir. 1994). Therefore, as
18 a threshold matter, plaintiff must identify a *personnel action* in
19 order to state a claim under Title VII.

21 Generally, Title VII applies to those employment decisions
22 or actions that significantly affect compensation, terms, or
23 conditions of employment. Burlington Industries, Inc. v.
24 Ellerth, 524 U.S. 742, 761-62 (1998). Plaintiff contends that
25 the awards granted pursuant to the ESP are compensatory bonuses
26 and therefore fall within the purview of work-related
27 compensation. (Pl.'s Opp'n to Defs.' Mot. to Dismiss at 6).
28 Plaintiff further contends that the denial of such ESP awards is

1 a personnel action that negatively affects compensation. See
2 Fonseca v. Sysco Food Services of Arizona, Inc., 374 F.3d 840,
3 847 (9th Cir. 2004) (recognizing that an adverse employment
4 action exists where an employer's action negatively affects its
5 employee's compensation); but see Rabinovitz v. Pena, 89 F.3d
6 482, 488-89 (7th Cir. 1996) (holding that a loss of a bonus is
7 not an adverse employment action in a case where the employee is
8 not automatically entitled to the bonus).

9 Contrary to plaintiff's arguments, decisions relating to
10 awards involving employee suggestions are not "personnel
11 actions." Ridenour v. United States, 44 Ct. Fed. Cl. 202, 206
12 (1999).⁹ In Ridenour, the court distinguished between awards
13 related directly to an employee's job performance and awards
14 submitted through the SSA's ESP, the precise program at issue
15 here. Id. The court concluded that an award, with a primary
16 purpose to recognize the merits of an employee, was a personnel
17 action because it affected the employee-employer relationship.
18 Id. The court found that because merit awards "originate with
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20 ⁹ While defendants rely heavily on Kipnis v. Baram, 949
21 F. Supp. 618 (N.D. Ill. 1996), the court finds Kipnis factually
22 distinguishable from the case at hand. In Kipnis, the court was
23 faced with an SSA employee who claimed that he was retaliated
against in violation of Title VII because, after he filed an EEOC
complaint, he was denied an increase in an award for his
suggestion previously submitted and implemented under the ESP.
Kipnis, 949 F. Supp. at 624. The court held that because the
plaintiff was not automatically entitled to a higher bonus, under
Rabinovitz no adverse employment action occurred. Id. at 625.
The focus of the Kipnis court's inquiry was whether the
government had retaliated against the plaintiff for filing a
sexual harassment claim by denying him an additional award. Id.
at 621. Unlike the plaintiff in Kipnis, here, plaintiff has not
alleged that he was denied an award under the ESP in retaliation
for filing his EEOC complaint. Rather, the focus here is whether
plaintiff encountered discriminatory conduct related to the terms
and conditions of his employment.

1 management and affect the employee in his status as a worker,
2 they necessarily hold out a potential for supervisory abuse and
3 therefore are included in the list of personnel actions as to
4 which a prohibited personnel practice might occur." Id. In
5 contrast, the primary purpose of accepting a suggestion submitted
6 through the ESP is to improve the SSA's service, which ultimately
7 affects the SSA's relationship with those it serves, not with its
8 employees. Id. Awards under the ESP "offer management no
9 exploitative potential because they are unrelated to the employee's
10 status - they may affect the employee's pocketbook but not the
11 employee's career." Id. Ultimately, the Ridenour court
12 determined that, where an agency-sponsored program invites
13 suggestion and holds out a commitment to an award, the
14 plaintiff's claim, if one at all, lies in implied-in-fact
15 contract. Id. at 207 (concluding that "the program is an
16 invitation to submit offers which, if accepted by the agency,
17 entitle the offeror to recognition that may include a cash award
18 determined in accordance with published guidelines.").

19 Like Ridenour, where a dispute over the denial of an award
20 under the SSA's ESP was not a "personnel action" for purposes of
21 an action under the Civil Service Reform Act, it follows that
22 such a dispute is not a "personnel action" for purposes of an
23 action under Title VII, which requires an action that
24 significantly affects the compensation, terms, or conditions of
25 employment. See Burlington, 524 U.S. at 761-62. Because the
26 denial of an award under the ESP is not a "personnel action,"
27 plaintiff cannot state a claim for racial discrimination under
28 Title VII. Accordingly, defendants' motion to dismiss is

1 GRANTED.

2 As to plaintiff's alternative theory of hostile work
3 environment discrimination, plaintiff has not alleged any facts
4 to support that such an environment existed. In order to prevail
5 on a hostile work environment claim, plaintiff must demonstrate
6 that his workplace was permeated with discriminatory intimidation
7 that was sufficiently severe or pervasive to alter the conditions
8 of his employment and create an abusive working environment.

9 Brooks v. City of San Mateo, 299 F.3d 917, 923 (9th Cir. 2000).

10 Plaintiff's first amended complaint is devoid of any facts to
11 demonstrate that he was subjected to such an environment.

12 Plaintiff's only allegation to support his hostile work
13 environment claim is a conclusory statement that "[b]ecause of
14 the discriminatory misconduct of defendants they created, or
15 permitted their employees to create, a hostile work environment
16 in which it became impossible fo plaintiff to continue to work
17 ..." (FAC at ¶ 92). Plaintiff's conclusory allegation is
18 insufficient to state a hostile work environment claim under
19 Title VII. Accordingly, defendants' motion to dismiss is
20 GRANTED.¹⁰

21 **IV. Plaintiff's Request for Leave to Amend**

22 In his opposition to defendants' motion to dismiss,
23 plaintiff requests leave to amend his racial discrimination claim
24 pursuant to 42 U.S.C. § 1981 to state a "Bivens" claim. (Pl.'s
25 Opp'n to Defs.' Mot. to Dismiss at 8). Because a pretrial
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27 ¹⁰ Although both parties address a disparate impact claim
28 under Title VII, plaintiff did not plead such a claim in his
first amended complaint. Therefore, the court does not address
the parties' arguments on this issue.

1 scheduling order was entered on June 22, 2005 (the "Pretrial
2 Order"), Rule 16 governs plaintiff's request for leave to amend.
3 Fed. R. Civ. P. 16; Johnson v. Mammoth Recreations, Inc., 975
4 F.2d 604, 607-08 (9th Cir. 1992). Under Rule 16, orders entered
5 before the final pretrial conference may be modified only "upon a
6 showing of good cause." Fed. R. Civ. P. 16(b). The good cause
7 requirement of Rule 16 primarily considers the diligence of the
8 party seeking the amendment. When evaluating whether a party was
9 diligent, the Ninth Circuit has determined that "the focus of the
10 inquiry is upon the moving party's reasons for modification. If
11 that party was not diligent, the inquiry should end." Mammoth
12 Recreations, 975 F.2d at 610. Only after the moving party has
13 demonstrated diligence under Rule 16 does the court apply the
14 standard under Rule 15 to determine whether the amendment was
15 proper. See Id. at 608.

16 Plaintiff proffered no explanation as to why this claim was
17 incorrectly pled other than it was "inadvertent." (Pl.'s Opp'n
18 to Defs.' Mot. to Dismiss at 8). Thus, plaintiff has not
19 demonstrated good cause as to why this court should grant leave
20 to amend as required by Rule 16. Moreover, plaintiff has not
21 demonstrated diligence in correcting this error as nearly nine
22 months have passed between the filing of the Pretrial Order and
23 plaintiff's request for leave to amend in his opposition.
24 Regardless of plaintiff's ability to show good cause and
25 diligence under Rule 16, granting leave to amend would be futile
26 because plaintiff cannot state a claim under Bivens.

27 In Bivens, the Supreme Court held that government officials
28 may be held personally liable for violations of citizens'

1 constitutional rights committed under the color of government
2 authority. Bivens v. Six Unknown Agents of the Federal Bureau of
3 Narcotics, 403 U.S. 388, 397 (1971). However, it is well settled
4 that Bivens did not provide a waiver of sovereign immunity for
5 claims against the United States, its agencies, or its employees
6 who are sued in their official capacities. See 28 U.S.C. § 2679
7 (West 2006); Fed. Deposit Ins. Corp. v. Meyer, 510 U.S. 471
8 (1994); Kaiser v. Blue Cross of Cal., 347F.3d 1107 (9th Cir.
9 2003). Because plaintiff cannot bring an action under Bivens
10 against the United States, the SSA, or defendant Barnhart in her
11 official capacity, granting plaintiff's request for leave to
12 amend would be futile. Accordingly, plaintiff's request for
13 leave to amend his racial discrimination claim under 42 U.S.C. §
14 1981 to a Bivens claim is DENIED.

15 **V. Defendant Barnhart, In Her Individual Capacity**

16 Defendant Barnhart contends that plaintiff's claims against
17 her must be dismissed pursuant to Rule 12(b)(5) for insufficiency
18 of service of process. Plaintiff filed his complaint on February
19 7, 2005. Thereafter, plaintiff timely served process on the
20 United States, the SSA, and defendant Barnhart, in her official
21 capacity. (Certificate of Service, filed April 7, 2005).
22 However, to date, plaintiff has not served process upon defendant
23 Barnhart, in her individual capacity, as required by Rules 4(e),
24 4(i)(2)(B), and 4(m).

25 Rule 4(i)(2)(B) requires that "[s]ervice on an officer or
26 employee of the United States sued in an individual capacity ...
27 is effected by serving the United States in the manner prescribed
28 by Rule 4(i)(1) and by serving the officer or employee in the

1 manner prescribed by Rule 4(e), (f), or (g)." Rule Fed. R. Civ.
2 P. 4(i)(2)(B) (West 2006) (emphasis added). Rule 4(e) sets forth
3 the methods that may be utilized to serve process upon an
4 individual residing within a judicial district of the United
5 States. Rule 4(m) establishes the time limits for service.
6 Specifically, Rule 4(m) provides:

7 If service of the summons and complaint is not
8 made upon a defendant within 120 days after the
9 filing of the complaint, the court, upon motion or
10 on its own initiative after notice to the
11 plaintiff, shall dismiss the action without
12 prejudice as to that defendant or direct that
13 service be effected within a specified time;
14 provided that if the plaintiff shows good cause
15 for the failure, the court shall extend the time
16 for service for an appropriate period.

17 Fed. R. Civ. P. 4(m) (West 2006).

18 For the court to extend the time for service, plaintiff must
19 show "good cause" for his failure to serve defendant in a timely
20 fashion. Plaintiff argues that his failure to apply for an
21 extension of time to serve process upon defendant Barnhart was
22 inadvertent. (Pl.'s Opp'n to Def.'s Mot. to Dismiss at 2).
23 However, "inadvertence does not qualify as good cause for failure
24 to comply with Rule 4[(m)]." Wei v. Hawaii, 763 F.2d 370, 372
25 (9th Cir. 1985). Plaintiff failed to provide any other excuse as
26 to why he has waited over one year to properly serve process upon
27 defendant Barnhart.¹¹ Because plaintiff failed to timely serve
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29 ¹¹ Plaintiff asserts that he withheld service of process
30 out of an abundance of caution because he was waiting for
31 defendant Barnhart to present her points and authorities
32 regarding her standing as a defendant. (Pl.'s Opp'n to Def.'s
33 Mot. to Dismiss at 2). However, plaintiff fails to note that
34 effective service of process is a prerequisite to a court's
35 exercise of personal jurisdiction over a defendant. See Omni
36 Capital Int'l v. Rudolph Wolff, 484 U.S. 97, 104 (1987). Thus,
37 (continued...)

1 process upon defendant Barnhart, in her individual capacity, and
2 failed to demonstrate good cause for such failure, the court
3 declines to grant plaintiff an extension of time to serve
4 process. Accordingly, defendant's motion to dismiss all claims
5 against her in her individual capacity pursuant to Rule 12(b) (5)
6 is GRANTED.¹²

7 **CONCLUSION**

8 For the foregoing reasons, defendants' motion to dismiss
9 plaintiff's first amended complaint against them is GRANTED. In
10 addition, defendant Barnhart's motion to dismiss plaintiff's
11 claims asserted against her in her individual capacity is
12 GRANTED. Plaintiff's request for leave to amend is DENIED. The
13 Clerk of the Court is directed to close this file.

14 IT IS SO ORDERED.

15 DATED: April 25, 2006.

16
17 /s/ Frank C. Damrell Jr.
18 FRANK C. DAMRELL, JR.
United States District Judge

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26 ¹¹(...continued)
the question of standing is moot if a court does not have
27 personal jurisdiction over a defendant.

28 ¹² Because the court grants defendant's motion to dismiss
pursuant to Rule 12(b) (5), the court need not address defendant's
immunity argument.